



1FW 3693

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|---|----------------------|------------------------|--------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | Application Number | 10/086,769-Conf. #8954 | |
| | Filing Date | March 1, 2002 | |
| | First Named Inventor | Joseph M. Kochansky | |
| | Art Unit | 3693 | |
| | Examiner Name | J. Patel | |
| Total Number of Pages in This Submission | 14 | Attorney Docket Number | 58985(49357) |

| ENCLOSURES (Check all that apply) | | |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return postcard |
| <div>Remarks</div> | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | | |
|--|-----------------------------------|----------|--------|
| Firm Name | EDWARDS ANGELL PALMER & DODGE LLP | | |
| Signature | | | |
| Printed name | Jacob P. Martinez | | |
| Date | September 12, 2007 | Reg. No. | 57,924 |

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| I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. | |
| Dated: September 12, 2007 | Signature: (Charlotte Hanulik) |



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Joseph M. **KOCHANSKY**

Application No.: 10/086,769

Filed: March 1, 2002

For: **INVESTMENT PORTFOLIO
COMPLIANCE SYSTEM**

Art Unit: 3693

Examiner: Patel, Jagdish

Confirmation No.: 8954

**Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

AMENDMENT AND RESPONSE UNDER 37 C.F.R. §1.111

Dear Sir:

Applicant submits this document in response to the Office Action mailed July 9, 2007.

Amendments to the Claims begin on page 2 of this paper

Remarks begin on page 10 of this paper.

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: September 12, 2007

Signature: Charlotte Hanulik (Charlotte Hanulik)